

☒ Application filed electronically through EFS-Web

FORM PTO-1390  
(REV. 04/2006)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

**1826.1183**

**TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371**

U.S. APPLICATION NO. (if known, see 37 CFR 1.5)

INTERNATIONAL APPLICATION NO.  
**PCT/JP2004/004187**

INTERNATIONAL FILING DATE  
**March 25, 2004**

PRIORITY DATE CLAIMED

**TITLE OF INVENTION**

**ADAPTIVE POLARIZATION ADJUSTMENT APPARATUS FOR CONTROLLING POLARIZATION OF LIGHT  
INPUTTED TO POLARIZATION-MAINTAINING WAVEGUIDE COMPONENTS**

APPLICANT(S) FOR DO/EO/US  
**Rainer HAINBERGER et al.**

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (22) indicated below.
4. ☒ The US has been elected (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
  - b. ☒ has been communicated by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
  - a. ☒ is attached hereto.
  - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☐ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).
11. ☒ For publication of assignee information under 37 CFR 1.215(b), list the assignee as FUJITSU LIMITED of Kawasaki, Japan. The Assignment papers will be filed later.

**Items 11 to 21 below concern document(s) or information included:**

12. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
13. ☐ An assignment document and separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included for recording
14. ☐ A preliminary amendment.
15. ☐ An Application Data Sheet under 37 CFR 1.76.
16. ☐ A substitute specification.
17. ☐ A power of attorney and/or change of address letter.
18. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825.
19. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
20. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
21. ☐ Other items or information: Copy of cover page of International Publication No. WO 2005/093497; & Forms PCT/ISA/202, PCT/ISA/224, PCT/IB/301, PCT/IB/308, PCT/IB/311/, PCT/ISA/220, PCT/ISA/237.

U.S. APPLICATION NO. (if known, see 37 CFR 1.5)		INTERNATIONAL APPLICATION NO. <b>PCT/JP2004/004187</b>		ATTORNEY'S DOCKET NUMBER <b>1826.1183</b>	
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22. <input checked="" type="checkbox"/> The following fees are submitted:				APPLICANT USE	OFFICE USE ONLY
<input checked="" type="checkbox"/> a) Basic National Fee ..... \$300.00				\$300.00	
23. <input checked="" type="checkbox"/> b) Examination Fee If the written opinion prepared by ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1) - (4) ..... \$0 All other situations ..... \$200.00				\$200.00	
24. <input checked="" type="checkbox"/> c) Search Fee (37 CFR 1.492(b)) If the written opinion of the ISA/US or the International preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1) - (4) ..... \$0 Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Search Authority ..... \$100 International Search Report prepared by an ISA other than the US and provided to the Office or previously communicated to the US by the IB ..... \$400 All other situations ..... \$500 <b>TOTAL OF ABOVE CALCULATIONS = \$</b>				\$500.00	
				\$1000.00	
<input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in an electronic medium). The fee is \$250 for each addition 50 sheets of paper or fraction thereof.					
Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof	Rate		
38 - 100 =	0 /50=	0	X 250.00		
Surcharge of <b>\$130.00</b> for furnishing the oath or declaration later than 30 months from the earliest claimed priority date (37 CFR 1.492(h)).				\$	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims	22 - 20 =	2	x <b>\$50.00</b>	\$100.00	
Independent claims	1 - 3 =	0	X <b>\$200.00</b>	\$	
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ <b>\$360.00</b>	\$	
<b>TOTAL OF ABOVE CALCULATIONS =</b>				\$	
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.				\$	
<b>SUBTOTAL =</b>				\$1100.00	
Processing fee of <b>\$130.00</b> for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(i)).				\$	
<b>TOTAL NATIONAL FEE =</b>				\$1100.00	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). <b>\$40.00</b> per property				\$	
<b>TOTAL FEES ENCLOSED =</b>				\$1100.00	
Amount to be refunded:				\$	
Amount to be charged:				\$	
a. <input type="checkbox"/> A check in the amount of \$_____ to cover the above fees is enclosed. b. <input checked="" type="checkbox"/> Please charge my Deposit Account No. <u>19-3935</u> in the amount of <u>\$1100.00</u> to cover the above fees. A duplicate copy of this sheet is enclosed. c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any Overpayment to Deposit Account No. 19-3935. A duplicate copy of this sheet is enclosed. d. <input type="checkbox"/> Fees are to be charged to a credit card. <b>WARNING:</b> Information on this form may become public. <b>Credit card information should not be included on this form.</b> Provide credit card information and authorization on PTO-2038.					
<b>NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137 (a) or (b)) must be filed and granted to restore the application to pending status.</b>					
SEND ALL CORRESPONDENCE TO:					
Staas & Halsey LLP 1201 New York Avenue, N.W., 7th Floor Washington, DC 20005			_____ /J. Randall Beckers/ SIGNATURE J. Randall Beckers NAME June 19, 2006 Date 30,358 REGISTRATION NUMBER		